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03485-P0002A WWW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant		Jocelyn Tristram Gervais Wood
Serial No. 09/930,090	Art Unit 2164	Filing Date: August 20, 2001
Application Title:		Data Processing System For Initiating And Administering Financial Products

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, DC 20231

**Filing of Missing Parts and Request for Corrected Filing Receipt**

Dear Sir:

Applicant hereby encloses for filing in response to the Notice to File Missing Parts of Application - Filing Date Granted dated October 1, 2001 (copy enclosed), the Declaration of the Inventor executed on November 21, 2001, and payment of the required fee in the amount of \$65.00.

Please correct the official filing receipt (copy enclosed) received from the United States Patent Office for the above-identified application.

There is an error with respect to the following data, which is the filing date listed under Domestic Priority Data. The correct filing date for PCT/GB00/00596 is February 18, 2000.

The Commissioner is hereby authorized to charge any additional fees by this paper and during the entire pendency of this Application to Account No. 19-4516.

Respectfully submitted,

Wesley W. Whitmyer, Jr., Registration No. 33,558  
Attorney for Applicant  
ST.ONGE STEWARD JOHNSTON & REENS LLC  
986 Bedford Street; Stamford, CT 06905-5619  
203 324-6155

Certificate of Mailing: I hereby certify that this correspondence is today being deposited with the U.S. Postal Service as first class mail in an envelope addressed to: Box Missing Parts; Assistant Commissioner for Patents; Washington, DC 20231.

January 17, 2002

Diane Rice



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Receipt #4

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/933,090	08/20/2001	2164	355	03485- P0002A	3	14	1

CONFIRMATION NO. 6640

24126

ST. ONGE STEWARD JOHNSTON & REENS, LLC  
986 BEDFORD STREET  
STAMFORD, CT 06905-5619

## FILING RECEIPT



\*OC000000006825417\*

Date Mailed: 10/01/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Jocelyn Tristram Gervais Wood, London, UNITED KINGDOM;

## Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CON OF PCT/GB00/00596 02/19/2000 02/18/2000

## Foreign Applications

UNITED KINGDOM 9903766.5 02/18/1999

If Required, Foreign Filing License Granted 09/27/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

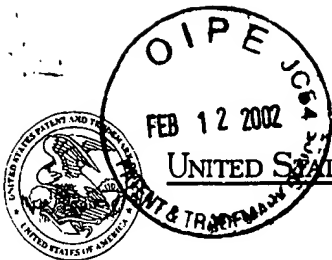
\*\* SMALL ENTITY \*\*

## Title

Data processing system for initiating and administering financial products

## Preliminary Class

705



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Page 1 of 1

#3

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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/933,090	08/20/2001	Jocelyn Tristram Gervais Wood	03485-P0002A

24126

ST. ONGE STEWARD JOHNSTON & REENS, LLC  
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STAMFORD, CT 06905-5619

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**FORMALITIES LETTER**

CONFIRMATION NO. 6640

OCT 04 2001

\*OC000000006825418\*

FILE  
DKT

12-1-a-Declaration  
3-1-02

Date Mailed: 10/01/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 65.**

*A copy of this notice **MUST** be returned with the reply.*

*Alayne W. Legeuse*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

08/15/2002 02:01:11 00000075 0933090

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